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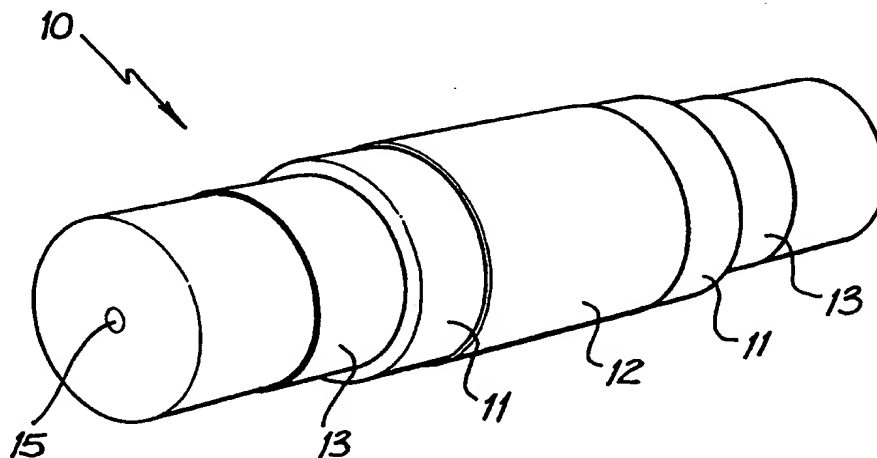
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## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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(54) Title: FABRICATION OF ZINC OXIDE FILMS ON NON-PLANAR SUBSTRATES AND THE USE THEREOF



## (57) Abstract

A method of manufacture of a substantially continuous circumferential coating on a non-planar substrate, is disclosed the method comprising the steps of: utilising a substantially non directional deposition technique and a substantially static substrate deposition geometry to deposit the coating. Coatings can be deposited which include piezo-electric modulation characteristics or electro-optic modulation characteristics. Ideally the coating has semiconducting properties. The type of coating ideally includes Zinc-Oxide coatings. The non directional deposition technique can comprise chemical vapour deposition via single source chemical vapour deposition. Suitable substrates include optical fibres which are clamped onto a substantially planar heating surface during the deposition. The optical fibre can be clamped at a portion of the length of the fibre which is located at one end of a heating surface during the deposition such that movement of a free end of the optical fibre is limited to movement substantially along the axis of the optical fibre.

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**Fabrication of Zinc Oxide Films on Non-Planar Substrates  
and the Use Thereof**

Field of the Invention

The present invention relates to the fabrication of  
5 Zinc Oxide films on non-planar substrates such as optical  
fibres and their use in devices such as piezo-electric or  
electro optic modulators.

Background of the Invention

Recently, there has been a growing interest in the  
10 development of thin film piezo-electric materials for use  
in all fibre acousto-optic modulators. In Fig.1 there is  
illustrated a schematic representation of the typical  
modulator device structure 10 where a film of active  
material 11 (typical thickness from 5 to several 10's of  
15  $\mu\text{m}$ ) is sandwiched between two electrical contact layers 12,  
13 (thicknesses up to  $1\mu\text{m}$ ) covering a full  $360^\circ$  surface of  
a fibre. The cylindrical geometry of such devices 10  
results in highly efficient polarisation independent  
modulators as the acoustic waves are focussed at the fibre  
20 core 15.

The active material 11 can be Zinc Oxide (ZnO) which  
is a II-VI semiconductor with strong piezo-electric and  
electro-optic properties ideal for use in compact thin film  
fibre modulators with frequency responses up to 1GHz. In  
25 crystalline zinc oxide, the c-axis is a polar axis due to  
effective ionic charges between the alternating Zn and O  
layers. It is therefore important that the ZnO thin film  
structure is one in which the crystallites are oriented  
with their c-axis parallel to the applied electric field.

30 To date ZnO films used in the fabrication of all-fibre  
modulators have been deposited using various forms of  
sputtering from a ZnO target. The devices previously  
constructed have had limited maximum attainable efficiency  
and phase modulation. Further, with utilising sputtering,  
35 rotation of the optical fibre was required due to the

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directional nature of the high energy deposition process. This was found to have an undesirable affect on device performance. Further, the most important limiting factor in these devices appears to be the non-negligible conductivity of the deposited films.

#### Summary of the Invention

It is an object of the present invention to provide for an improved method of fabrication of zinc oxide films on non-planar substrates such as optical fibres of the like. Further, it is an object of the present invention to construct devices utilizing the aforementioned improved films.

In accordance with a first aspect of the present invention, there is provided a method of manufacture of a substantially continuous circumferential coating on a non-planer substrate, the method comprising the steps of: utilising a substantially non directional deposition technique and a substantially static substrate deposition geometry to deposit the coating.

Coatings can be deposited which include piezo-electric modulation characteritics or electro-optic modulation characteristics. Ideally the coating has semiconducting properties. The type of coating ideally includes Zinc-Oxide coatings.

The non directional deposition technique can comprise chemical vapour deposition via single source chemical vapour deposition.

Suitable substrates include optical fibres which are clamped onto a substantially planar heating surface during the deposition. The optical fibre can be clamped at a portion of the length of the fibre which is located at one end of a heating surface during the deposition such that movement of a free end of the optical fibre is limited to movement substantially along the axis of the optical fibre.

In accordance with a second aspect of the present invention, there is provided a receptacle for an optical

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fibre arranged to be used in a method of manufacture of a circumferential coating on an optical fibre utilising a substantially non directional deposition technique and a substantially static substrate deposition geometry, the receptacle comprising: a substantially planar heating surface; a clamping means for clamping the substrate fibre onto the heating surface, wherein the clamping means is arranged to clamp the fibre at a portion of the length of the optical fibre which is located at one end of the heating surface during the manufacture of the coating; and means for limiting a movement of a free end of the optical fibre to movement substantially along axis of the optical fibre.

In accordance with a further aspect of the present invention, there is provided an acusto-optical phase modulator having a phase modulation efficiency greater than substantially  $0.25 \text{ rad}/\sqrt{\text{FMW/cm}}$  and further preferably having a substantially linear relationship between phase modulation and driving power for driving powers greater than 36mW.

It has been found in practice that, through the utilisation of chemical vapour deposition techniques, acusto-optical phase modulators having higher levels of efficiency, in excess of  $0.25 \text{ radians}/\sqrt{\text{MW/cms}}$ , can be constructed. Further, phase modulators utilising the aforementioned techniques have been found to have substantially higher phase modulation capabilities than previously possible. This allows for their incorporation in interferometric optic arrangements which have improved phase modulation characteristics.

#### Brief Description of the Drawings

Notwithstanding any other forms which may fall within the scope of the present invention, preferred forms of the invention will now be described, by way of example only, with reference to the accompanying drawings in which:

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Fig. 1 is a schematic of a typical thin film acousto-optic fibre phase modulator;

Fig. 2 illustrates a CVD system utilised for the preparation of CVD films in accordance with the preferred embodiment;

Figs. 3a and 3b illustrate a sample holder constructed in accordance with the preferred embodiment;

Fig. 4 illustrates a cross-sectional view of a fibre holder as utilised in the preferred embodiment;

Fig. 5 illustrates the X-ray diffraction spectra of a zinc oxide film as recorded for films deposited in the preferred embodiment;

Fig. 6 illustrates a plot of the depth profile of a CVD zinc oxide film;

Fig. 7 illustrates a plot of X-ray diffraction intensities for ZnO films deposited in accordance with the preferred embodiment;

Fig. 8 illustrates one form of modulator constructed in accordance with the preferred embodiment; and

Fig. 9 illustrates a plot of measured phase modulation verses driving power for various resonant frequencies for devices constructed in accordance with the preferred embodiment and the prior art.

Fig. 10 illustrates a chart of the preferred orientation (or texture) of ZnO films grown as a function of both precursor pressure and substrate temperature; and

Fig. 11a to 11c represents various schematic views of the modified Knudsen cell.

#### Description of the Preferred and Other Embodiments

In the preferred embodiment, an all-fibre acousto-optic phase modulator was produced using a ZnO film deposited by a modified single source chemical vapour deposition (SSCVD) process from a metal-organic precursor. The precursor used was  $\text{Zn}_4\text{O}(\text{CH}_3\text{COO})_6$  (basic zinc acetate, BZA).

In Fig. 2, there is illustrated a schematic of the

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high vacuum chamber 20 utilized to construct the modulator. The films were deposited in a high vacuum ( $P \leq 1 \times 10^{-6}$  mbar), and the BZA precursor 21 was vapourised in a modified Knudsen cell 22 by resistively heating the cell. Fig. 11a to 11c illustrate various views of the modified two zone Knudsen cell which includes a reservoir 110 formed via a screw in stopper 111, an outer cell 112 and a series of bores 114 for the receipt of ceramic insulated Ta resistance wires for heating. Also provided is an exit aperture 115 for the exit of materials.

The cell temperature was adjusted so that the partial pressure of BZA in the chamber 20 was approximately  $1 \times 10^{-5}$  mbar. The film was deposited onto a heated sample substrate 23 (Fig. 2) heated to  $450^{\circ}\text{C}$  in the presence of a water ambient of  $2 \times 10^{-3}$  mbar. The film growth proceeded in the usual manner via the thermal decomposition of the metal-organic precursor. The decomposition mechanism to form stoichiometric ZnO was found to be promoted by the presence of the water vapour.

For deposition onto optical fibres (fused silica,  $125\mu\text{m}$  diameter), a special sample holder 23 as illustrated in Figs. 3a and 3b was designed to fit the requirements arising from the fragile nature of this kind of substrate. Fig. 3a, illustrates a top perspective view of the sample holder while Fig. 3b illustrates a side perspective view. The requirements include:

- i. fibres of a length of  $\sim 20\text{cm}$  to be secured during the vacuum transfer and;
- ii. the holder enables expansion of the fibres during the deposition of  $450^{\circ}\text{C}$ .

Up to four fibres eg. 30, 31 are loaded into the ceramic tubes eg. 32 which have two cores of  $250\mu\text{m}$  diameter each. The tubes eg. 32 are positioned so that the bottom edge of each core is level with the surface of the copper heating block 38. The fibres are pressed onto the copper



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heating block at one end by a copper clamp 39 fitted with a central screw 40 to ensure even pressure distribution on the fibres, with a minimum of two optical fibres in the holder being required. The surface of the polished copper clamp also provides a planar reference surface to control the crystallinity of the deposited film. X-Ray Diffraction (XRD) spectra taken from the copper clamp were used to estimate the degree of c-axis orientation in the deposited films. XRD patterns can not be obtained directly from the ZnO films deposited onto to the fibre, therefore, the obtained reference XRD spectra from the copper clamp can only be used as an indication whether the growth conditions were suitable for growing polycrystalline, c-axis oriented films onto planar substrates. Only one clamp 39 was used on the fibres to enable expansion of the fibres without creating intrinsic stress within the fibres during the deposition at 450°C. Fig. 4 shows a cross-sectional schematic view of the fibres eg. 31 mounted onto the copper heating block. One advantage of CVD growth was the non-directional growth aspects of the deposition process which enables depositions onto non-planar substrates without severe shadowing effects as obtained in sputter deposition techniques where the impulse of the impinging atoms is high. In CVD growth a high partial pressure of precursor in the vicinity of the heating block should allow for film growth onto every heated surface in the precursor vapour, since the kinetics of the precursor molecules in the gas phase can be described by random thermal movement.

Due to the fact that the fibres 31 are only clamped 39 onto the heating block 38 in the sample holder design, an air gap between bottom of the fibres and the surface of the heater will remain. The thickness of this air gap 50 can be expected to be in the order of the roughness of the materials pressed against each other, (estimated to be about 0.5µm). However, in the case of only one clamp 39 used in the designed sample holder, the upper limit for the

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gap (denoted  $d$ ) can be estimated to be  $d = d_{\text{core}} - d_{\text{fibre}}$  from the geometry at the free end of the fibre on the heating block, neglecting any curvature of the fibre perpendicular to the surface of the heater 38 for the short length (1cm) between  
5 clamp 39 and ceramic end 44 in the design. With the diameter of the core,  $d_{\text{core}} = 250\mu\text{m}$  and the diameter of the fibre  $d_{\text{fibre}} = 125\mu\text{m}$ , this upper limit is  $125\mu\text{m}$ . Thus deposition of the ZnO film over  $360^\circ$  of the fibre surface without rotating of the fibres was possible. It was found  
10 experimentally, that the heater temperature range from  $350^\circ\text{C}$  -  $450^\circ\text{C}$  was suitable for the decomposition of the precursor on the fibre surface.

The ZnO films were deposited onto a  $\sim 15\text{nm}$  thick Cr contact layer which was sputter deposited onto the fibre at  
15 room temperature in a high vacuum sputter system. During Cr sputter deposition, the fibres were mounted in an aluminium frame which was rotated by  $180^\circ$  between two deposition cycles to coat the fibre around the full  $360^\circ$  due to the shadowing effect. For deposition of the top Cr  
20 contact onto the ZnO film, a mask was attached to the frame which restricts the deposition area to a length of 6mm centred on the film.

The ZnO films were characterised using X-ray diffraction (XRD) and X-ray photo-electron spectroscopy  
25 (XPS). The former technique was used to investigate the structural film properties of the ZnO films whereas the latter gave information of the chemical film composition. The XRD measurements were performed in a Siemens Kristalloflex diffractometer in air with an un-  
30 monochromated Cu  $K\alpha$  source and the XPS measurements in a VG ESCALAB 220XL ultra high vacuum analysis chamber equipped with a monochromated Al  $K\alpha$  source and a hemispherical electron energy analyser.

In Fig. 5, the obtained XRD spectra of a ZnO reference  
35 powder 60 (Aldrich, 99.9%) and of a CVD-grown film 61 onto

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a planar SiO<sub>2</sub> substrate under ideal conditions are shown. In the reference powder, the ZnO crystallites are randomly oriented with respect to the azimuth of the planar sample holder. Thus all crystal planes e.g. 63-65 can be detected  
5 in XRD analysis. The chosen 2θ angle range between 30° and 38° is commonly used to characterise ZnO since it covers the strongest peaks in the overall spectra. In the XRD spectrum 61, taken from the CVD-grown film, only one peak 67 is present associated with diffraction from the (002)  
10 crystal plane. This indicates that the film crystallites are oriented with the c-axis perpendicular to the substrate/planar sample surface. This is the preferred orientation for piezo-electric applications since the piezo-electric effect is strongest along the polar crystal  
15 axis.

In Fig. 6, a XPS depth profile of a deposited ZnO film under identical conditions is shown. The atomic concentration of the film components is plotted as a function of sputter depth. At the outer surface of the  
20 film, the film composition differs from the 'bulk' in that an increased carbon contamination 70 and a decreased relative zinc concentration 71 is found. This can be explained by surface contaminations due to the exposure of the films to air after the film deposition. Such surface  
25 contaminations are mainly oxygen, hydroxides and hydrocarbons, giving rise to the obtained increased concentrations of oxygen and carbon at the film surface. In the deeper film layers, the film composition is that of stoichiometric ZnO with a carbon contamination level that  
30 is below the XPS detection limit.

The accuracy of the quantification method used can be controlled to the extent that the substrate composition measured after the ZnO film is completely removed is in agreement with the expected value for SiO<sub>2</sub> of 66.7% oxygen  
35 and 33.3% silicon. The above results suggest excellent chemical and structural properties of ZnO films deposited

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onto planar substrates using the modified SSCVD process.

In Fig. 7, the XRD spectrum 80 of the film deposited onto the copper reference surface during the Zn deposition onto the optical fibres is shown. Again, only the one peak associated with the (002) plane is present, again suggesting that the deposition conditions were ideal. From scanning electron microscopy (SEM) images of the optical fibre with the deposited ZnO film, it was further evident, that the film was deposited over the full 360° range.

In Fig. 8, there is illustrated an experimental setup used to characterise the response of the ZnO phase modulator. A transducer 91 was spliced into one end 92 of a Mach-Zehnder interferometer constructed from two 50% single-mode couplers 93, 94. A 1553nm DFB laser diode 96 (coherence length > 10m) with isolator was used as the optical source. At the output of the interferometer a high speed (bandwidth >> 10GHz) photodetector 97 in conjunction with an RF spectrum analyser 98 (bandwidth 1.8GHz) was used to measure the amplitude of the optical modulation. A RF source 100 capable of delivering 700mW into 50Ω was used to drive the ZnO device 91 with the power monitored using an RF power meter 102 and a -20dB directional coupler 103. To maintain a constant state of quadrature during measurements, the DC portion of the interference signal from the MZI was used as a feedback 104 to control a drive compensator (thermal) 106 in the reference arm 107 of the interferometer.

When a sinusoidal drive voltage is applied to the modulator 91, the amplitude of the signal at the output 97 of the Mach-Zehnder interferometer may be expressed as:

$$P = \frac{P_{\max}}{2} [1 + \cos(\phi + \beta \sin(2\pi f_{\text{mod}} t))],$$

where  $P_{\max}$  is the launched intensity,  $f_{\text{mod}}$  is the frequency of the drive signal and  $\phi$  is the steady-state phase difference between the two arms of the interferometer (maintained constant by the feedback circuit). The

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modulation index  $\beta$  is given by

$$\beta = \frac{2\pi}{\lambda} \Delta n L$$

where  $\Delta n$  is the peak change in effective core index  $\lambda$   
 5 = 1553nm is the wavelength, and  $L = 0.006\text{m}$  is the device length.

Equation 1 may be expressed as the sum of Bessel functions  $J_n(\beta)$  which occur at harmonics of the drive signal frequency:

$$\begin{aligned} 10 \quad P &= \frac{P_{\max}}{2} [1 + \cos(\phi + \beta \sin(2\pi f_{\text{mod}} t))] \\ &= \frac{P_{\max}}{2} [1 + \cos\phi \cdot \cos(\beta \sin(2\pi f_{\text{mod}} t)) \\ &\quad \sin\phi \sin(\beta \sin(2\pi f_{\text{mod}} t))] \\ 15 \quad &= \frac{P_{\max}}{2} [1 - J_0(\beta) \cos\phi - 2J_1(\beta) \sin\phi \sin(2\pi f_{\text{mod}} t) \\ &\quad + 2J_2(\beta) \cos\phi \cos(4\pi f_{\text{mod}} t) - 2J_3(\beta) \sin\phi \sin(6\pi f_{\text{mod}} t) \\ 20 \quad &\quad [-\dots] \end{aligned}$$

Using the ratio of the measured amplitudes of first and second sidebands  $J_1(\beta) \cos\phi / J_2(\beta) \sin\phi$ , the modulation index  $\beta$  can be calculated knowing the phase relationship between the two arms of the interferometer.

25 Across the measured frequency range of 100 to 700MHz the device 90 exhibited a series of well defined resonances corresponding to the radial modes of the fibre-film composite. These maxima were separated by approximately 49MHz in agreement with the expected value for a 125 $\mu\text{m}$   
 30 fibre.

In Fig. 9, there is shown the measured phase modulation versus the square root of the driving power for two of the resonance frequencies at 283MHz and 478MHz. At 283MHz, an almost linear modulation efficiency of  
 35 0.17rad/ $\sqrt{\text{mW}}$  with a maximum phase shift of 3.5 radians was measured for a driving power of 580mW. Similar results of

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0.14rad/ $\sqrt{Mw}$  and 3.2 radians at 680mW were attained at 478MHz. Fig. 9 includes the data reported in N.H. Ky, H.G.Limberger, R.P. Salathe and G.R. Fox, "400MHz all-fibre phase modulators using standard telecommunications fibre", in *The Proceedings of conference on Optical Fibre communications 1996*, Feb.. 25 - Mar.1, 1996, San Jose, California, USA, (Ky et al.) for a comparable 6mm long device using a 6 $\mu$ m thick ZnO film deposited by sputtering measured at a frequency of 196.5MHz. Clearly, while the performance of Ky et al device is limited for input powers above 36mW, for the CVD device nonlinear effects are only evident at much higher input powers. In this region the obtained phase shift of approximately  $\pi$  radians which is optimum for switch and modulator applications has been achieved.

Previously, in the literature, device efficiency has been compared using the empirical figure of rad/ $\sqrt{Mw}$  /cm of device length. In these terms of the preferred embodiment device efficiency of 0.28 rad/ $\sqrt{Mw}$  /cm (at 283MHz) is approximately 35% higher than the previous most efficient device reported by Ky et. al. For the constructed modulator any saturation effects occur at much higher driving powers suggesting an excellent chemical film composition and structure of the CVD grown ZnO films.

Two aspects of how film thickness influences device performance may be considered. Firstly, for the same applied voltage, use of thinner films may enable higher electric fields in the device resulting in greater induced strain. Secondly, the elastic coupling between active film and fibre is also influenced by film thickness. The improved performance measured in the present device may therefore be related to a combination of film thickness and chemical composition.

In summary an all-fibre acousto-optic phase modulator has been developed using CVD grown ZnO films as the active

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material. The CVD deposition technique allows 360° coating of the optical fibre without the need for fibre rotation. This significantly reduces the complexity in manufacturing all-fibre devices. The maximum phase shift measured for a  
5 6mm long device at 283MHz was 3.5 radians at a drive power of 580mW. Unlike in previous designs using sputtered ZnO films the maximum attainable phase shift is not significantly limited by thermal and mechanical loss effects at higher driving powers. The measured efficiency  
10 of 0.28 rad/ $\sqrt{\text{Mw}}$  /cm of device length is 35% higher than previously reported which may be the result of our relatively thin films (0.4-0.9 $\mu\text{m}$ ).

It would be appreciated by a person skilled in the art that numerous variations and/or modifications may be made  
15 to the present invention as shown in the specific embodiment without departing from the spirit or scope of the invention as broadly described. For example, using the single source CVD method, depositions can be carried using a range of temperature conditions to produce similar  
20 quality films in addition to using other basic zinc compounds to grow films. For example, in Fig. 10 there is shown a plot of results obtained for ZnO films grown as a function of both precursor pressure and substrate temperature with the letters c or a indicating c or a axis orientation, c/r and a/r indicating predominantly c or a  
25 axis orientated with some random orientation and r indicating random orientation. The presented embodiment is, therefore, to be considered in all respects to be illustrative and not restrictive.

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We Claim:

1. A method of manufacture of a substantially continuous circumferential coating on a non-planar substrate, said method comprising the steps of:
- 5 utilising a substantially non directional deposition technique and a substantially static substrate deposition geometry to deposit said coating.
2. A method as claimed in claim 1 wherein the coating has piezo-electric modulation characteristics.
- 10 3. A method as claimed in claim 1 ~~or 2~~ wherein the coating has electro-optic modulation characteristics.
4. A method as claimed in ~~any one of the preceding claims~~ *Claim 1* wherein the coating has semiconducting properties.
5. A method as claimed in ~~any preceding claims~~ *Claim 1* wherein the coating comprises substantially Zinc-Oxide.
- 15 6. A method as claimed in ~~any one of the preceding claims~~ *Claim 1* wherein the non directional deposition technique comprises chemical vapour deposition.
7. A method as claimed in claim 6 wherein the non
- 20 directional deposition technique comprises single source chemical vapour deposition.
8. A method as claimed in ~~any one of the preceding claims~~ *Claim 1* wherein the non-planar substrate is an optical fibre.
- 25 9. A method as claimed in claim 8 wherein at least one end of the optical fibre is clamped onto a substantially planar heating surface during the deposition.
10. A method as claimed in claim 8 wherein the optical fibre is clamped at a portion of the length of the
- 30 fibre which is located at one end of a heating surface during the deposition.
11. A method as claimed in claim 8 wherein a movement of a free end of the optical fibre is limited to movement substantially along the axis of the optical fibre.
- 35 12. A receptacle for an optical fibre arranged to be used in a method of manufacture of a circumferential



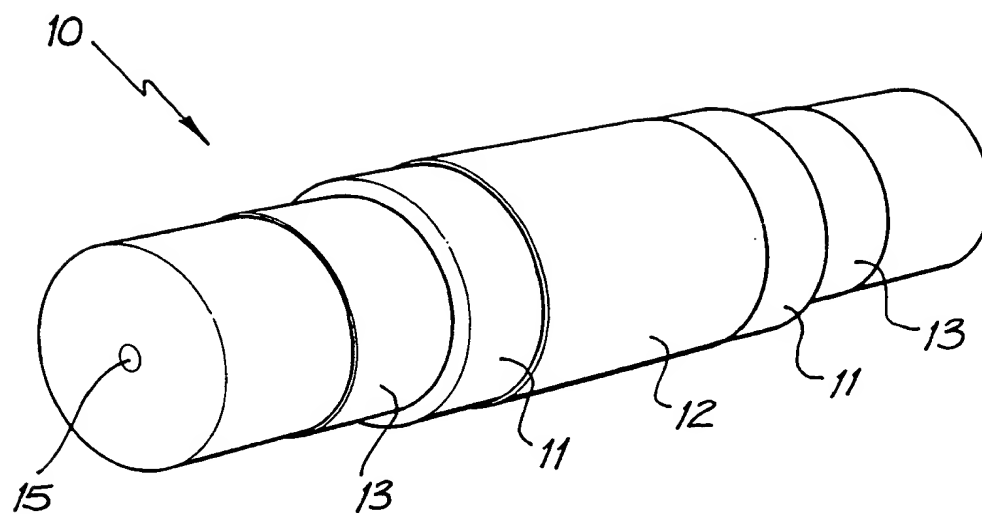


FIG. 1

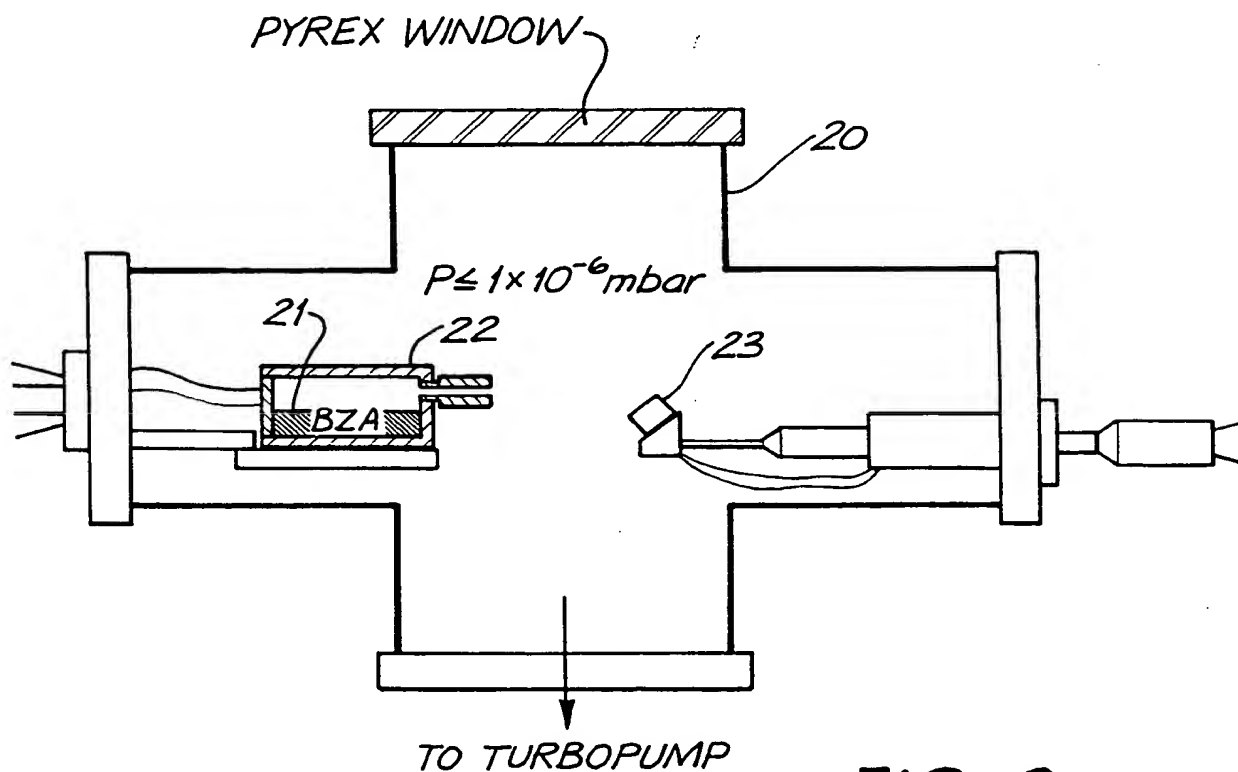


FIG. 2

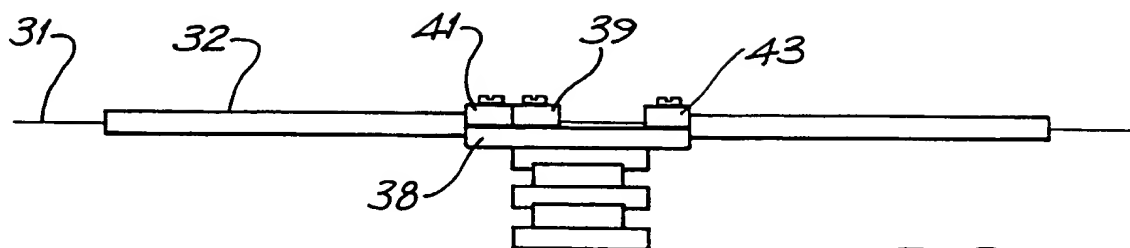


FIG. 3a

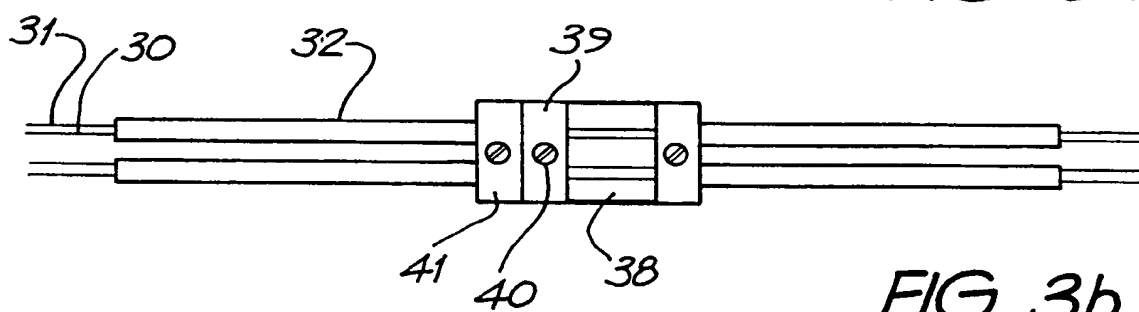


FIG. 3b

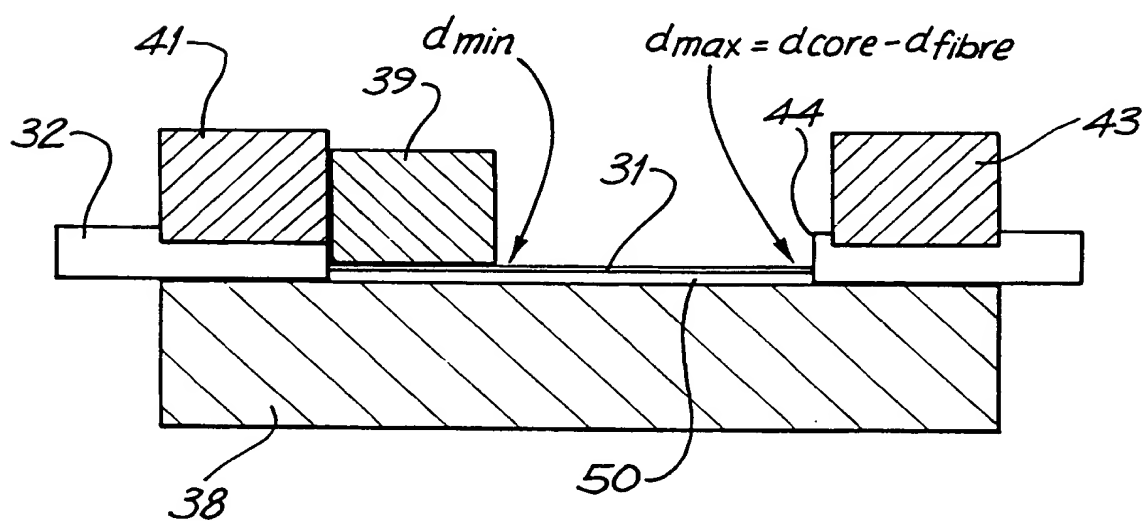


FIG. 4

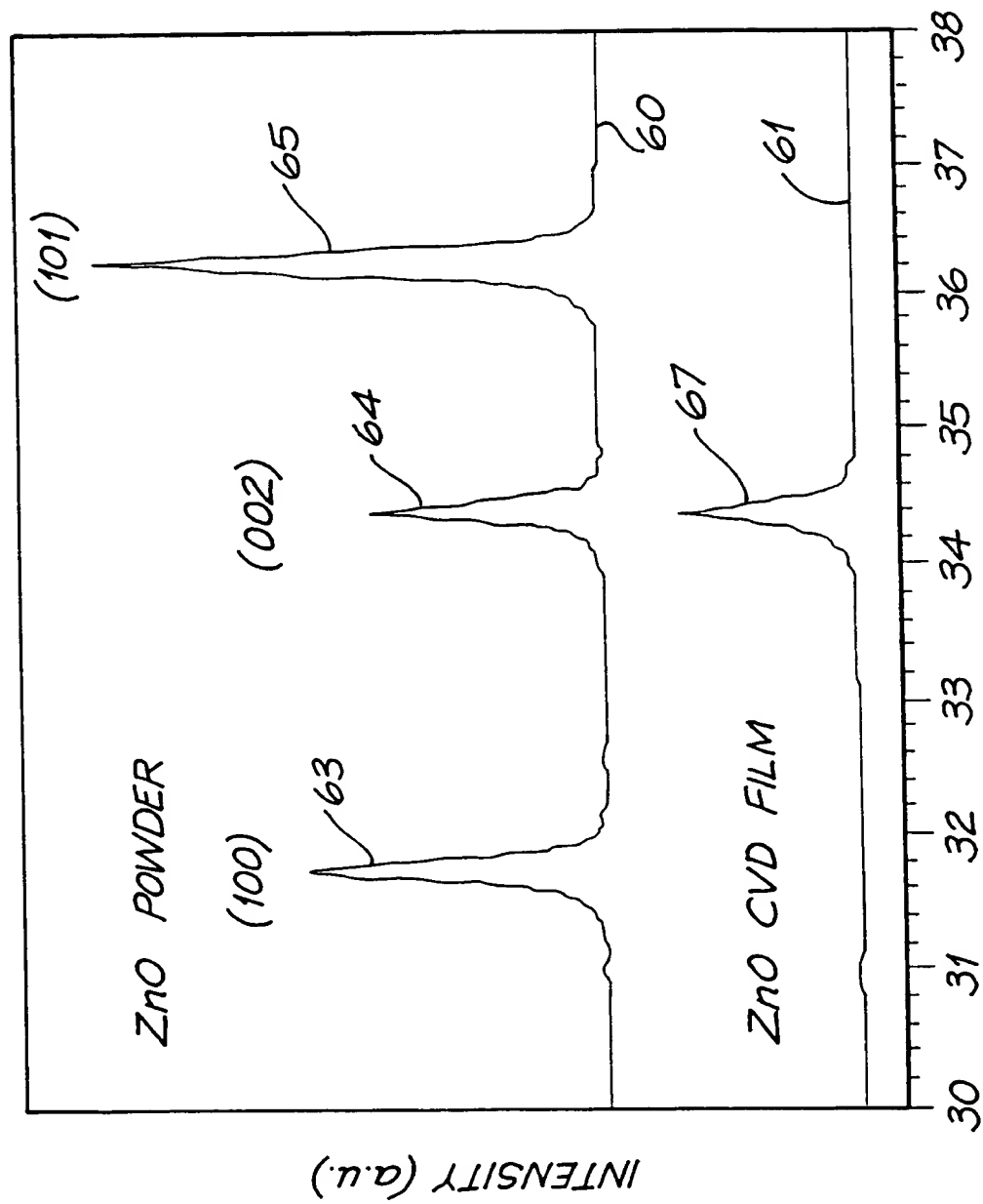


FIG. 5  
2 THETA (DEG)

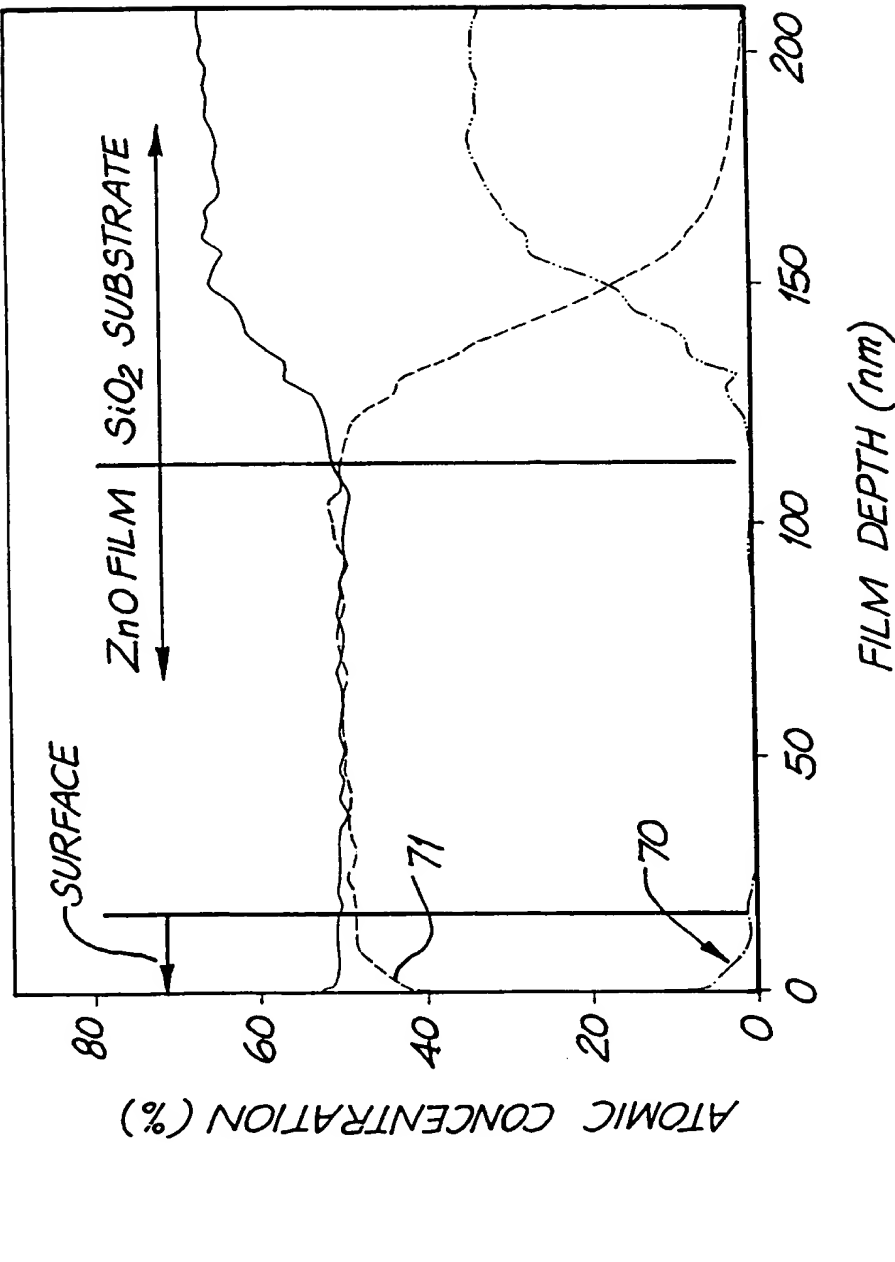


FIG. 6

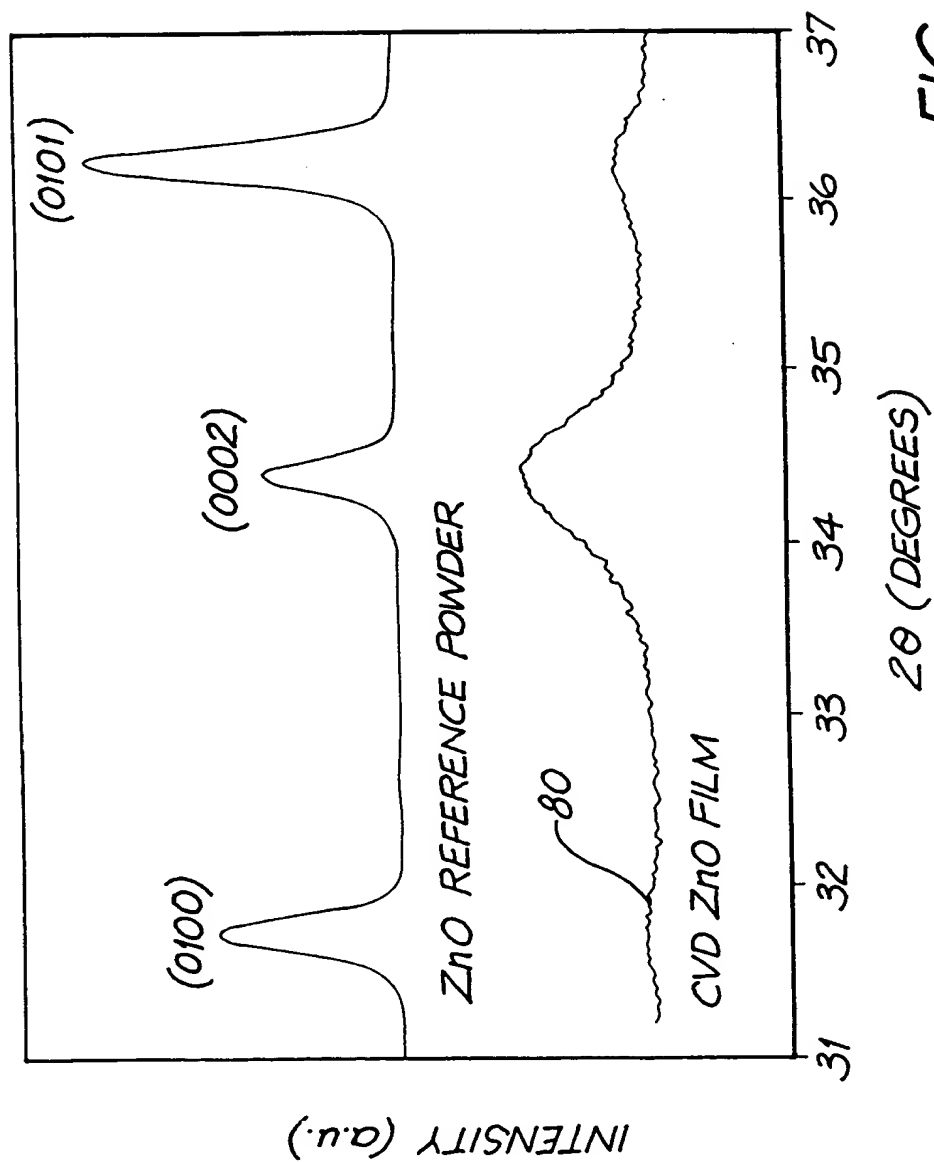


FIG. 7

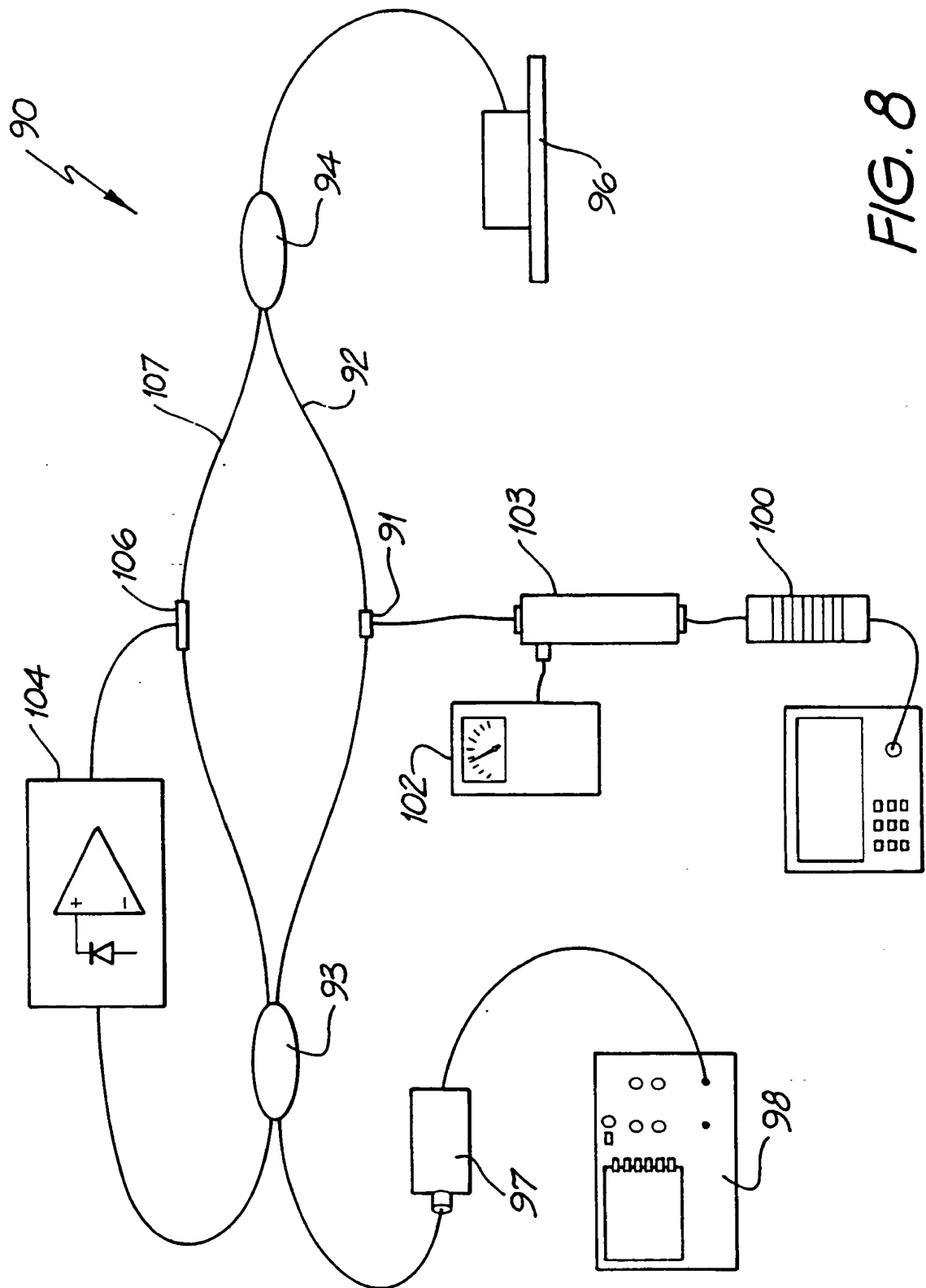


FIG. 8

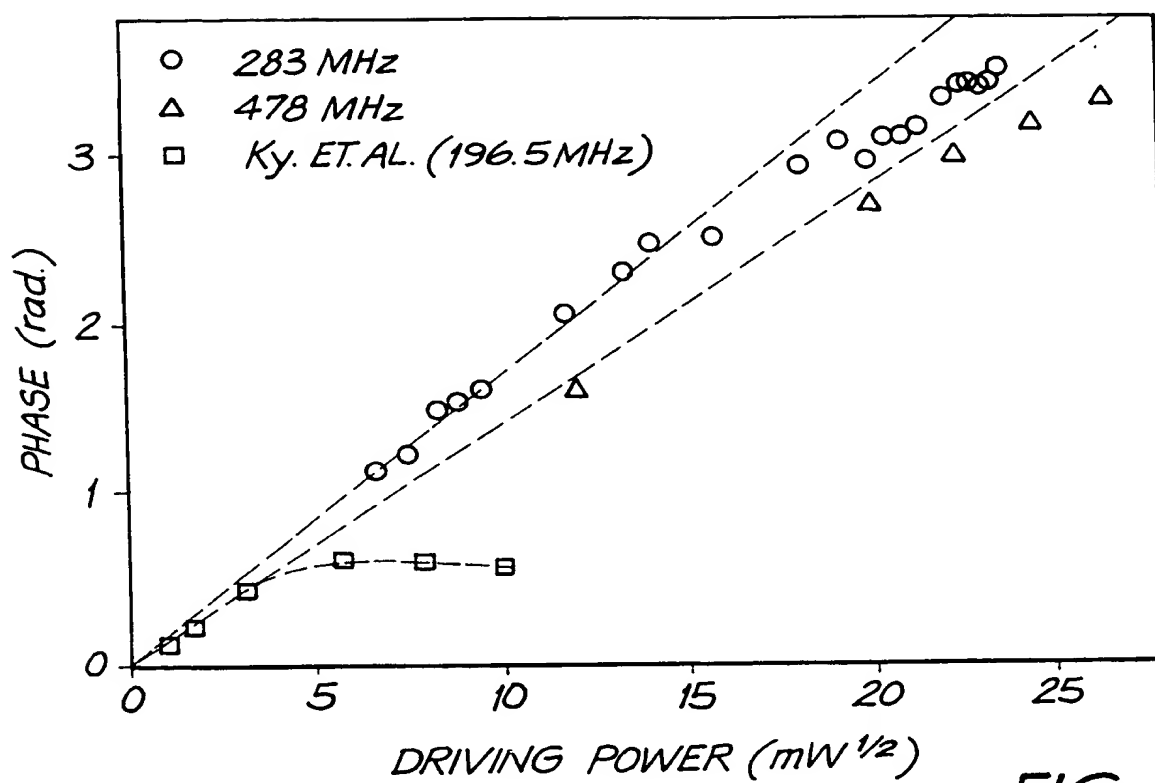


FIG. 9

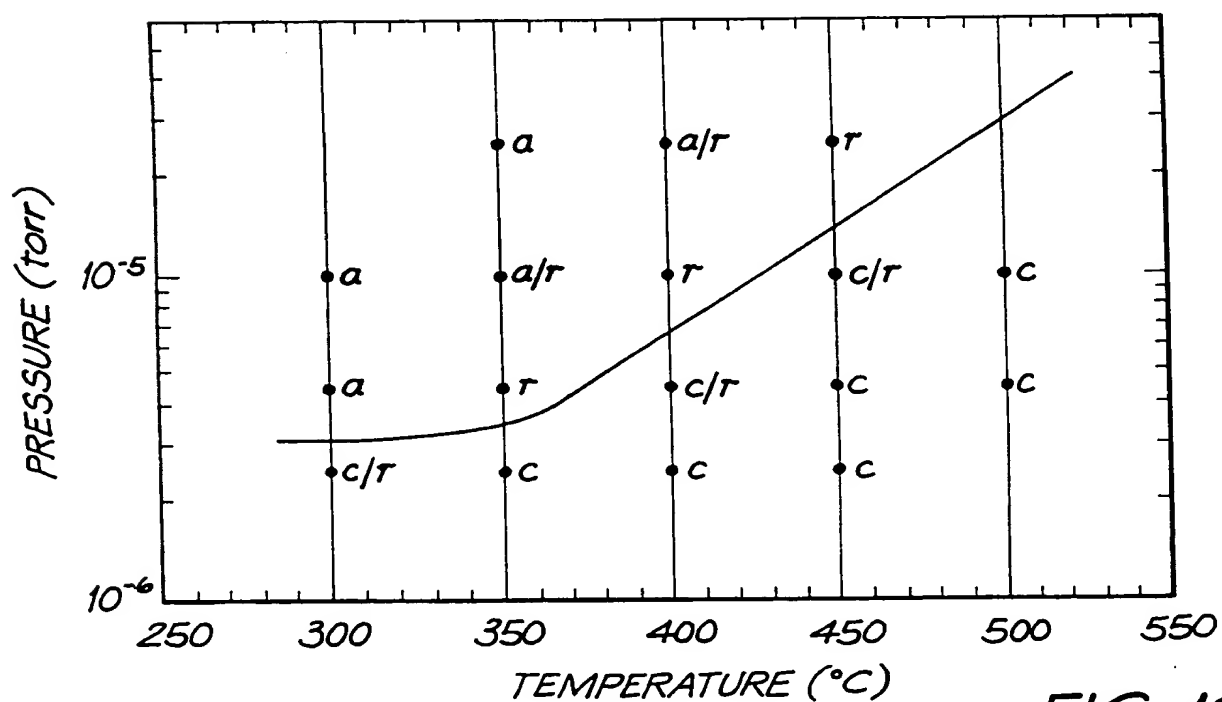


FIG. 10

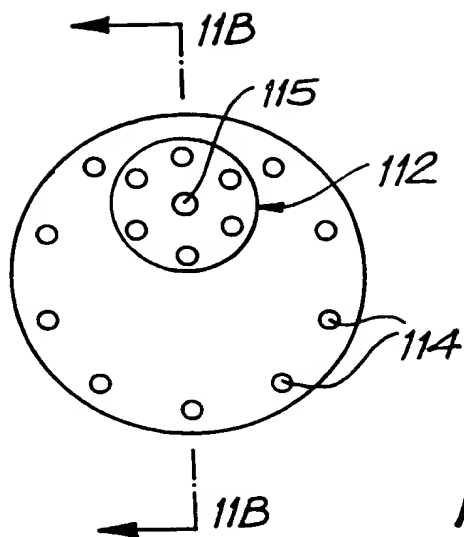


FIG. 11a

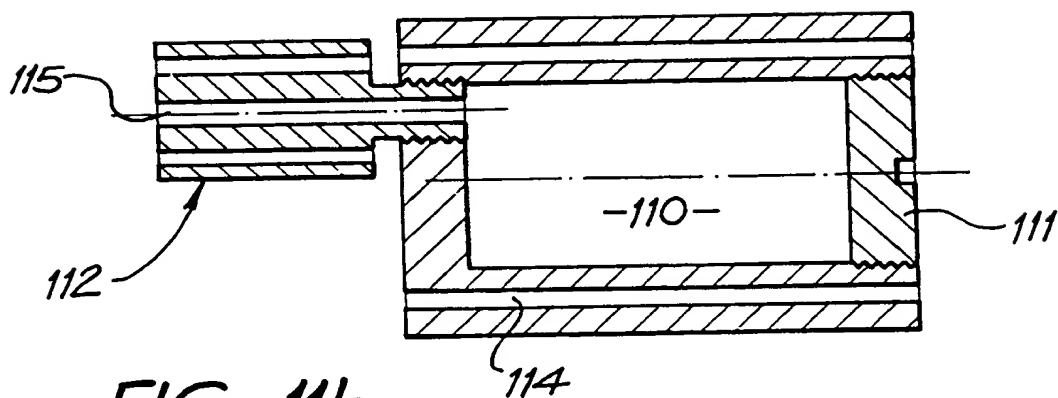


FIG. 11b

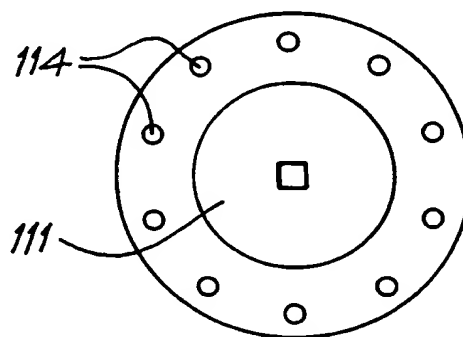


FIG. 11c



# INTERNATIONAL SEARCH REPORT

International Application No.  
PCT/AU 98/00326

<b>A. CLASSIFICATION OF SUBJECT MATTER</b>																						
Int Cl <sup>6</sup> : C03C 25/02																						
According to International Patent Classification (IPC) or to both national classification and IPC																						
<b>B. FIELDS SEARCHED</b>																						
Minimum documentation searched (classification system followed by classification symbols) C03C 25/02, 25/04																						
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched AU:IPC as above																						
Electronic data base consulted during the international search (name of data base and, where practicable, search terms used) WPAT: ZnO, ZINC:																						
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>																						
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.																				
X	US 4790625 A (BISWAS et al.) 13 December 1988 See column 3 line 42 to column 5 line 50 and figure 1.	1, 6-11																				
X	US 4592932 A (BISWAS et al.) 3 June 1986 See column 3 line 4 to column 5 line 56 and figures 1-3.	1, 6-11																				
X	US 4575463 A (BISWAS et al.) 11 March 1986 See column 3 line 32 to column 5 line 34 and figure 1.	1, 6-11																				
<input type="checkbox"/> Further documents are listed in the continuation of Box C <input checked="" type="checkbox"/> See patent family annex																						
<p>* Special categories of cited documents:</p> <table border="0"> <tr> <td>"A"</td> <td>document defining the general state of the art which is not considered to be of particular relevance</td> <td>"T"</td> <td>later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</td> </tr> <tr> <td>"E"</td> <td>earlier document but published on or after the international filing date</td> <td>"X"</td> <td>document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone</td> </tr> <tr> <td>"L"</td> <td>document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</td> <td>"Y"</td> <td>document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art</td> </tr> <tr> <td>"O"</td> <td>document referring to an oral disclosure, use, exhibition or other means</td> <td>"&amp;"</td> <td>document member of the same patent family</td> </tr> <tr> <td>"P"</td> <td>document published prior to the international filing date but later than the priority date claimed</td> <td></td> <td></td> </tr> </table>			"A"	document defining the general state of the art which is not considered to be of particular relevance	"T"	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention	"E"	earlier document but published on or after the international filing date	"X"	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone	"L"	document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"Y"	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art	"O"	document referring to an oral disclosure, use, exhibition or other means	"&"	document member of the same patent family	"P"	document published prior to the international filing date but later than the priority date claimed		
"A"	document defining the general state of the art which is not considered to be of particular relevance	"T"	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention																			
"E"	earlier document but published on or after the international filing date	"X"	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone																			
"L"	document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"Y"	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art																			
"O"	document referring to an oral disclosure, use, exhibition or other means	"&"	document member of the same patent family																			
"P"	document published prior to the international filing date but later than the priority date claimed																					
Date of the actual completion of the international search 2 July 1998		Date of mailing of the international search report -7 JUL 1998																				
Name and mailing address of the ISA/AU AUSTRALIAN PATENT OFFICE PO BOX 200 WODEN ACT 2606 AUSTRALIA Facsimile No.: (02) 6285 3929		Authorized officer  J. DEUIS Telephone No.: (02) 6283 2146																				

# INTERNATIONAL SEARCH REPORT

International Application No.  
PCT/AU 98/00326

## B x 1 Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☐ Claims Nos.:  
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a)

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

See attached sheet.

1. ☐ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☒ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.: 1-12

### Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

## INTERNATIONAL SEARCH REPORT

International Application No.

PCT/AU 98/00326

B x II continued

The International application does not comply with the requirements of unity of invention because it does not relate to one invention or to a group of inventions so linked as to form a single general inventive concept. In coming to this conclusion the International Searching Authority has found that there are two inventions:

1. Claims 1-12 are directed to a substantially continuous circumferential coating on a non-planar substrate utilising a substantially non directional deposition technique and a substantially static substance deposition geometry to deposit the coating. The coating method is considered to be the first "special technical feature".
2. Claims 13-15 are directed to an acusto-optical phase modulator characterised by having a phase modulation efficiency range. The modulator is considered to be the second separate "special technical feature".

Since the above mentioned groups of claims do not share either technical features identified, a "technical relationship" between the inventions, as defined in PCT rule 13.2 does not exist. Accordingly the International application does not relate to one invention as a single inventive concept.

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application N .  
PCT/AU 98/00326

This Annex lists the known "A" publication level patent family members relating to the patent documents cited in the above-mentioned international search report. The Australian Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

Patent Document Cited in Search Report				Patent Family Member			
US	4592932	AU	43465/85	EP	166649	ES	544562
		ES	8700451	JP	61020915	US	4592932
		CN	85104312	CN	85104315	US	4575463
		US	4750806	US	4790625	EP	95729
		JP	59045945	ZA	8303150	US	4518628
US	4575463	AU	43465/85	EP	166649	ES	544562
		ES	8700451	JP	61020915	US	4592932
		CN	85104312	CN	85104315		
		US	4750806	US	4790625	EP	95729
		JP	59045945	ZA	8303150	US	4518628
US	4790625	EP	95729	JP	59045945	ZA	8303150
		US	4518628	US	4750806	AU	43465/85
		EP	166649	ES	544562	ES	8700451
		JP	61020915	US	4575463	US	4592932
		CN	85104312	CN	85104315		
END OF ANNEX							